

UNITED STATES CIVIL SERVICE COMMISSION

FEDERAL PERSONNEL MANUAL SYSTEM

LETTER

FPM LETTER NO. 412-2

Washington, D.C. 20415

January 29, 1974

SUBJECT: Executive and Management Development*Heads of Departments and Independent Establishments:*

1. The Commission issued the Guidelines for Executive Development in the Federal Service as FPM Letter No. 412-1 on October 8, 1971, (now appendix A to FPM chapter 412). Since that time the departments and agencies have developed promising policies and plans for stepping up the pace of executive development activities. However, actual accomplishments in most agencies remain below our expectations in terms of results achieved. This fact was recognized by the Office of Management and Budget and led directly to three separate actions taken by OMB in cooperation with the Commission:
 - a. Establishment of a special executive and management development effort in fiscal year 1974 in twelve representative departments and agencies;
 - b. Issuance of OMB Bulletin 74-1 which required agencies to report on resource allocations contained in FY-75 budget requests that are intended to finance executive and management development efforts; and
 - c. Establishment of the Government-wide Federal Executive Development Program for twenty-five GS-15's with executive potential.
2. The purpose of this Letter is to establish requirements and to provide additional instructions designed to foster the institutionalization of executive and management development in all Federal organizations in the executive branch. In order to achieve this objective, each agency is required to take the following actions

INQUIRIES: Bureau of Executive Manpower, code 101, ext. 24661 or 63-24661**CSC CODE** 412 - Executive Development**DISTRIBUTION:** FPM

to make executive and management development an integral part of personnel management operations:

a. By June 30, 1974

(1) Identify all managerial positions

- (a) For purposes of this Letter, a managerial position is one in which the incumbent (1) directs the work of an organization, (2) is held accountable for the success of specific line or staff programs, projects, functions or activities, (3) monitors progress toward goals, evaluates operational effectiveness and makes appropriate adjustments, and (4) performs most of the duties listed in attachment 1 to this Letter. This attachment also provides more detailed guidance for identification of managerial positions.
- (b) Please note that the term "managerial position" refers to the duties of a particular position regardless of the grade or salary level at which the position is classified. However, such positions are normally classified at or above the GS-13 or equivalent level. Similarly, the term "manager" as used in this Letter refers to a Federal civilian employee at any level or salary whose primary duties are managerial. Thus the term "manager" includes individuals at the GS 16-18 or equivalent levels (commonly referred to as executives or supergrades) whose primary duties are managerial.

(2) Specify the knowledge and ability requirements of each managerial position

- (a) There are basic managerial knowledges and abilities required by most managerial positions, regardless of the grade or salary level at which the positions are classified. Attachment 2 to this Letter provides a comprehensive list of basic managerial knowledges and abilities common to most managerial positions. It further provides guidance on the interpretation and elaboration of these basic knowledges and abilities for application to specific agency managerial positions.

- (b) Federal employees are usually selected for their first managerial position based upon their performance in nonmanagerial positions. Although they may be qualified under existing qualification standards, they may not have acquired all of the managerial knowledges and abilities needed for maximum effectiveness in a particular managerial position.

b. Beginning July 1, 1974 and Continuing

(1) Identify all newly selected managers

The term "newly selected managers" applies to all individuals selected for their first managerial position on or after July 1, 1974.

(2) Identify all current managers selected for another managerial position

This requirement applies to all individuals currently occupying managerial positions who are selected for another managerial position on or after July 1, 1974.

(Requirements (1) and (2) above apply only to positions in the competitive service, regardless of pay system or manner of selection; i.e., promotion, internal placement or other means.)

(3) Assess managerial knowledges and abilities

For purposes of this section, the term "assessment" refers to determining or making judgments about the degree to which individuals possess the knowledge and ability requirements identified for particular managerial positions. Attachment 3 to this Letter provides guidance on this assessment process.

(4) Prepare individual development plans

- (a) Individual Development Plans (IDP's) must be prepared for all newly selected managers and current managers selected for another managerial position. The IDP must be prepared before (or shortly thereafter) the time of the individual's selection and must (1) specify the knowledges and abilities to be acquired or sharpened to achieve maximum

effectiveness in the position, (2) contain a schedule of appropriate developmental assignments or training to meet these individual needs, and (3) be approved by the individual's immediate superior and the agency Executive Manpower Management Officer (or equivalent). Further, the agency must provide appropriate developmental opportunities to meet the needs specified in the IDP's.

- (b) The CSC publication Suggestions for Individual Development Planning (EMMTAP No. 2, October 1973) outlines the basic elements of this process and describes the role of each participant. (The 12 agencies selected by the Office of Management and Budget for a special executive development effort in FY-74 will have already partially fulfilled the IDP requirements.) Attachment 4 to this Letter provides additional guidance on the IDP process.
- (c) All individuals covered by this requirement must complete the needed developmental activities either before or within one year after entry on duty in the position. Agencies are required to maintain appropriate records to document the achievement of the requisite knowledges and abilities.

c. By September 30, 1974

- (1) Implement an operational "high potential" identification system
 - (a) As used here, the term "operational" refers to a formal system that has been completely integrated into personnel management operations throughout the agency and documented by appropriate policy statements, directives and program descriptions.
 - (b) FPM Letter 412-1, October 8, 1971, instructed the agencies to establish programs to identify individuals (nonmanagers at the GS 13-15 or equivalent levels) with high potential for managerial positions. Although some agencies have established formal identification systems that are fully operational on an agencywide basis, other agencies are still in the design and/or pilot testing stage. It is imperative

that all agencies complete the implementation of operational programs so that a sufficient number of high potential individuals are identified and developed for managerial position vacancies as they occur.

- (c) Each agency or component thereof should make its own decisions regarding the identification process best suited to its managerial manpower needs. Factors affecting these decisions include size of the managerial population, number of anticipated vacancies, organizational growth patterns, and cost. The Commission publication Considerations in the Identification of Managerial Potential (EMMTAP No. 1, September 1973) provides general information on the whole range of identification methods and points out some of the advantages and disadvantages of each.

(2) Prepare individual development plans for high potentials

- (a) Individual Development Plans (IDP's) must be prepared for all nonmanagers at GS-13 (or equivalent) and above who have been identified as having high potential for managerial positions. The IDP must be prepared at (or shortly thereafter) the time that the individual is identified and must (1) specify developmental objectives and needs, (2) contain a schedule of appropriate developmental experiences to meet these individual needs, and (3) be approved by the individual's immediate superior and the agency Executive Manpower Management Officer (or equivalent). Further, the agency must provide appropriate developmental opportunities to meet the needs specified in the IDP's.
- (b) As noted in section b. (4), the CSC publication Suggestions for Individual Development Planning provides comprehensive information on the design and implementation of an individual development planning system. Attachment 4 to this Letter also provides additional guidance on the IDP process.

3. Agencies should consider conducting a single coordinated effort when preparing individual development plans for all employees covered by the preceding requirements. The advantages of this approach include:
 - (a) Prompt identification of the types of developmental programs required to meet agency managerial manpower needs; and
 - (b) Establishment of a current information base which would enable agencies to (1) aggregate agencywide needs for developmental programs and opportunities, (2) review these needs against other priorities in terms of such elements as feasibility and cost, (3) consider alternative developmental activities to meet the objectives, and (4) calculate program funding needs for inclusion in the agency's annual budget request to the Office of Management and Budget.
4. Executive and management development programs must in all their elements reflect an affirmative posture on equal employment opportunity. Identification, selection and development of minorities and women for managerial positions is a major challenge many agencies still face. Properly designed developmental programs can assist us to meet this challenge and facilitate the utilization of the full potential of all agency employees, including minorities and women. Agencies must ensure that their executive and management development program policies, procedures and operations provide for the identification of high potential candidates from all sources.
5. Each agency is required to maintain appropriate records of actions taken to comply with the requirements contained in this Letter and these records must be available for periodic review by the Commission. Action must be taken to ensure that (a) permanent records are maintained on a current basis for all managerial positions and the knowledge and ability requirements of each, (b) the assessment of individual knowledges and abilities becomes an integral part of the individual development planning process, (c) that IDP's are periodically updated to reflect current individual development needs, and (d) the latest agency managerial manpower needs are considered.

Agencies are expected to establish procedures for self-evaluation to ensure effective program operation and periodic reports to the Commission may be required. Further information about evaluation visits and reporting requirements will be provided at a later date.

6. In the Washington, D. C. metropolitan area, inquiries and requests for advice or assistance should be directed to:

Executive Manpower Management Technical Assistance Center (EMMTAC)
Bureau of Executive Manpower
Room 6681
U. S. Civil Service Commission
Washington, D. C. 20415

Area code 202-63-24661 or IDS code 101-24661

7. Field establishments should address requests for advice or assistance to the Commission's Regional Training Centers listed in attachment 5 to this Letter.



Bernard Rosen
Executive Director

Attachments

Approved For Release 1999/09/24 : CIA-RDP82-00357R000800200013-2

IDENTIFICATION OF MANAGERIAL POSITIONS

1. For purposes of this Letter, a managerial position is one in which the incumbent (1) directs the work of an organization, (2) is held accountable for the success of specific line or staff programs, projects, functions or activities, (3) monitors the progress of the organization toward goals and periodically evaluates and makes appropriate adjustments, and (4) performs most of the following duties:
 - a. Determines goals and develops plans for an organization independently of or jointly with higher management;
 - b. Contributes significantly to the determination of resource needs and allocation of resources, and is held accountable for their effective use;
 - c. Makes or recommends organizational changes which have considerable impact, such as those involving basic structure, operating costs, or key positions;
 - d. Considers a broad spectrum of factors when making decisions (or recommendations to higher-level management) including public relations, Congressional relations, labor-management relations, public policy stances, effect on other organizations and other parts of the organization, economic impact, and the like;
 - e. Coordinates program efforts with other internal activities or with the activities of other agencies;
 - f. Assesses the impact on organization programs of developments in other parts of the agency, in other Government entities, and in the private sector;
 - g. Sets policy for the organization in such areas as determining program emphases and operating guidelines; understands and communicates agency policies and priorities throughout the organization managed;
 - h. Deals with general personnel management policy matters affecting the entire organization, with personnel actions affecting key employees, or other actions with possible serious repercussions; and
 - i. Delegates authority to subordinate supervisors and holds them responsible for the performance of their organizational units.

Approved For Release 1999/09/24 : CIA-RDP82-00357R000800200013-2

2. While no specific grade or organizational level criteria would fit every situation, the following guidelines may be applied in identifying managerial positions:
 - a. The positions are usually at or above the GS-13 level (or equivalent). However in certain cases, particularly in the field, lower level positions may be included if the above duties are performed to a significant degree;
 - b. Usually, a manager's organization is subdivided into two or more units led by subordinate supervisors, but there may be exceptions; and
 - c. "Deputy" positions are included when the responsibility for managing the total organization is divided between the manager and the deputy; or when the deputy serves as an alter ego and assists the chief in all phases of the organization's work.
3. The above criteria are deliberately designed to be limited to positions with responsibility for directing the work of an organizational entity regardless of whether it is a "line" or a "staff" function. Thus, the head of a personnel, budget, or other administrative organization who exercises the responsibilities described above is a manager along with heads of "line" operational programs.
4. It is recognized that this definition excludes many positions which require a high degree of expertise in management subjects but which do not include responsibility for directing an organizational unit. Therefore, the definition excludes:
 - a. General staff assistants to top managers;
 - b. Positions at the first or second supervisory levels that primarily involve the duties outlined in the Supervisory Grade-Evaluation Guide, as distinguished from managerial duties; and
 - c. Nonsupervisory positions with responsibility for technical guidance of work performed by contractors, grantees, or personnel in other Government organizations.

MANAGERIAL KNOWLEDGES AND ABILITIES

1. This attachment provides a list of basic managerial knowledges and abilities common to most managerial positions, regardless of the grade or salary level at which the position is classified. The purpose of this list is to provide a basis for:
 - a. Identifying the knowledges and abilities required for maximum effectiveness in particular managerial positions;
 - b. Determining or judging the extent to which individuals possess the required managerial knowledges and abilities; and
 - c. Determining the type of developmental experiences needed by particular individuals to achieve maximum effectiveness.
2. Following is a list of basic managerial knowledges and abilities:
 - a. Environmental Knowledges
 - (1) External environment of the program
 - Social, political and economic forces that affect the program
 - Governmental policies, organizations, missions, and operations
 - Public policies relevant to the program
 - Federal administrative processes
 - o Federal personnel system, including labor-management relations and EEO
 - o Federal budgeting system
 - o Federal contract and procurement system
 - (2) Internal organizational environment of the program
 - Internal organization of the agency
 - Agency goals and operations
 - Communication and coordination with other members of agency management team
 - Employee and union interests and concerns

b. Management Knowledges

(1) Program planning

- Ability to formulate program goals and objectives
- Ability to devise efficient and economical organizational structures

(2) Program implementation

- Ability to make effective decisions and solve problems
 - o recognizing and analyzing problems
 - o identifying and selecting from alternative courses of action
 - o anticipating potential problems and devising contingency plans
- Ability to develop and train subordinates
- Ability to delegate authority
- Ability to utilize managerial systems and processes
 - o financial management
 - o information management
 - o data processing
 - o personnel and manpower management

(3) Program control and evaluation

- Ability to control program activities
- Ability to evaluate progress towards objectives
- Ability to develop alternative plans for program improvement

c. Interpersonal Abilities

- (1) Ability to inspire confidence in self and in the program

- (2) Ability to work with people of various backgrounds-- social, economic, racial, etc.
- (3) Ability to listen to and accept the views of others
- (4) Ability to secure understanding and support from higher level management
- (5) Ability to communicate with subordinates and deal with their individual and collective representatives
- (6) Ability to accept responsibility
- (7) Ability to represent the organization to other organizations within the agency, other agencies, the legislative branch, and to the public.

d. Personal Abilities

- (1) Ability to communicate orally and in writing
- (2) Ability to negotiate
- (3) Analytical ability
- (4) Ability to use own time effectively
- (5) Awareness of own capabilities and limitations

It is stressed that the knowledges and abilities listed above are broad and have at least some applicability to all managerial positions. Further interpretation and elaboration is required before they can be applied to specific agency positions. For example, the social, political, and economic forces affecting a program involving the operation of the National Park System would be very different from the forces affecting a medical research program. Nevertheless, knowledge of the applicable social, political, and economic forces is a requirement of managerial positions in both examples. Similarly, the extent to which positions require a knowledge of Federal contract and procurement systems varies greatly between a military logistics program and a Federal tax collection program. These differences must be specified so that the broad knowledges and abilities required for a particular position can shape the developmental program for a particular individual.

Also, this attachment is not intended to deal with technical or program knowledges, abilities, or skills that are unique to particular programs or positions and do not lend themselves to generalization across the management spectrum. In identifying overall position requirements, agencies must evaluate technical knowledges, abilities, and skills against criteria developed for the specific program and/or position.

ASSESSMENT OF MANAGERIAL KNOWLEDGES AND ABILITIES

1. As used in this attachment, the term "assessment" refers to determining or making judgments about the degree to which individuals possess the knowledges and abilities required for particular managerial positions. Agencies must establish procedures to determine whether managers and potential managers (normally GS 13-15) need additional developmental experiences to acquire or sharpen the knowledges and abilities required for maximum effectiveness in particular managerial positions.
2. It is important to remember that Federal employees are usually selected for their first managerial position on the basis of performance in non-managerial positions; i.e., demonstration of a high degree of technical expertise in their occupational field and some proficiency in supervising the work of others. However, despite the fact that these individuals may be qualified for a particular managerial position under existing qualifications standards, they usually have not had the opportunity to acquire or develop all of the managerial knowledges and abilities required to a uniformly high degree. Except in rare cases, one can only develop a high degree of managerial expertise by actually performing managerial functions.

Accordingly, for each Federal organization to effectively use the guidance contained in the previous attachments, it must:

- a. Interpret and elaborate each of the listed managerial knowledges and abilities to accurately reflect individual agency or component missions, functions and program requirements. This should be a continuing process because of the dynamic nature of the Federal sector environment.
- b. Determine the relative importance of each knowledge and ability for maximum effectiveness in particular managerial positions.
- c. Assess the extent to which individuals possess the knowledges and abilities required in agency managerial positions. Various systems for determining or judging the degree to which individuals possess these elements are described in the Commission publication Considerations in the Identification of Managerial Potential (EMMTAP No. 1, September 1973). Although this publication is intended primarily to provide information on systems to identify potential managers, the various techniques described therein are also applicable for assessment of the managerial knowledges and abilities of present managers.

INDIVIDUAL DEVELOPMENT PLANNING

1. The previous attachment discussed the importance of assessing individuals in terms of the knowledges and abilities required for maximum effectiveness in a particular managerial position. The purpose of this attachment is to carry this process to its logical conclusion--a periodically prepared schedule of developmental experiences including both work assignments and formal training; i.e., an Individual Development Plan (IDP). IDP's must be designed to meet specific developmental objectives determined jointly by the individual and the supervisor and which are needed to improve current performance and/or to prepare the individual for positions of greater responsibility. The individual development planning process provides a rational and systematic framework for meeting developmental needs in terms of the knowledges and abilities required for a position, the organization's managerial manpower needs, and the individual's career development goals. The Commission publication Suggestions for Individual Development Planning (EMMTAP No. 2, October 1973), outlines the basic principles of this process and describes the role of each participant.
2. Although IDP's may eventually be required for all Federal managers, at this time they are especially needed for newly selected managers and current managers selected for another managerial position. ~~Carefully planned and scheduled developmental experiences are essential for filling in gaps in experience, sharpening managerial skills, acquiring a deeper understanding of internal and external environmental factors, and keeping pace with new developments in technical or program areas.~~
3. Developmental experiences should also be planned to prepare an individual for higher level responsibilities, but this type of long range development is normally not appropriate for newly appointed managers during the first year if it requires extended periods of time off the job. Thus the development of new managers should focus on the acquisition or sharpening of specific knowledges and skills needed immediately for maximum effectiveness in the newly occupied position.

** This is mentioned repeatedly*

REGIONAL TRAINING CENTERS
U.S. CIVIL SERVICE COMMISSION

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Atlanta, Georgia 30309
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BOSTON REGION

Regional Training Center
U.S. Civil Service Commission
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Boston, Massachusetts 02109
Area Code 617 223-2569

CHICAGO REGION

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610 South Canal
Chicago, Illinois 60607
Area Code 312 353-2927

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